



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5

Application of: Roger BERGER

Application No.: 09/788,639

Group Art Unit: 3700

Filed: February 21, 2001

Examiner: ~~Not yet assigned~~ FERKO, Kathryn

For: OCCIPITAL PLATE AND SYSTEM  
FOR SPINAL STABILIZATION

Attorney Docket No.: 8932-320

INFORMATION DISCLOSURE STATEMENT

RECEIVED

Assistant Commissioner for Patents  
Washington, D.C. 20231

SEP 25 2003

TECHNOLOGY CENTER R3700

Sir:

Pursuant to Applicants' duty of disclosure under 37 C.F.R. § 1.56, Applicants hereby invite the Examiner's attention to the enclosed List of References Cited by Applicant listing 71 references in reverse-chronological order for the Examiner's convenience. Copies of these references are enclosed.

Applicants respectfully request that the Examiner review all of the references and make them of record in the present application by completing and returning the revised Form PTO-1449.

As this statement is being submitted before the first Office Action or within three months of the filing date, no fee is believed to be due. Should any fees be required, however, please charge such fees to Pennie & Edmonds Deposit Account No. 16-1150.

Respectfully submitted,

Date June 15, 2001

*Seth A. Watkins*  
*FOR: Brian M. Rothery*

Seth A. Watkins

Reg. No. 47,169

For: Brian M. Rothery

Reg. No. 35,340

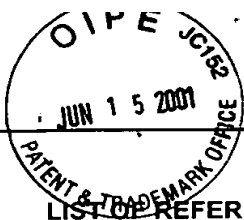
**PENNIE & EDMONDS LLP**

1667 K Street, N.W.

Washington, DC 20006

(202) 496-4400

Enclosures



## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8932-320

APPLICATION NO.

09/788,639

APPLICANT

Roger BERGER

FILING DATE

February 21, 2001

GROUP

3738

## U.S. PATENT DOCUMENTS

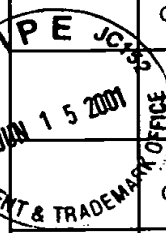
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,187,005	02/13/01	Brace et al.	606	61	
	AB	6,179,838	01/30/01	Fiz	606	61	
	AC	6,171,311	01/09/01	Richelsoph	606	61	
	AD	6,136,003	10/24/00	Hoeck et al.	606	61	
	AE	6,146,382	11/14/00	Hurlbert	606	61	
	AF	6,113,600	09/05/00	Drummond et al.	606	61	
	AG	6,110,173	08/29/00	Thomas, Jr.	606	61	
	AH	6,106,527	08/22/00	Wu et al.	606	61	
	AI	5,993,449	11/30/99	Schlapfer et al.	606	60	
	AJ	5,989,251	11/23/99	Nichols	606	61	
	AK	5,980,523	11/09/99	Jackson	606	61	
	AL	5,976,135	11/02/99	Sherman et al.	606	61	
	AM	5,947,966	09/07/99	Drewry et al.	606	61	
	AN	5,947,965	09/07/99	Bryan	606	61	
	AO	5,928,233	07/27/99	Apfelbaum et al.	606	61	
	AP	5,885,284	03/23/99	Errico et al.	606	61	
	AQ	5,810,815	09/22/98	Morales	606	61	
	AR	5,709,686	01/20/98	Talos et al.	606	69	
	AS	5,702,452	12/30/97	Argenson et al.	623	17	
	AT	5,702,395	12/30/97	Hopf	606	61	
	AU	5,693,053	12/02/97	Estes	606	61	
	AV	5,653,708	08/05/97	Howland	606	61	
	AW	5,630,816	05/20/97	Kambin	606	61	
	AX	5,624,442	04/29/97	Mellinger et al.	606	61	
	AY	5,620,443	04/15/97	Gertzbein et al.	606	61	
	AZ	5,593,407	01/14/97	Reis	606	61	
	BA	5,582,612	12/10/96	Lin	606	61	
	BB	5,558,674	09/24/96	Heggeness et al.	606	61	
	BC	5,545,165	08/13/96	Biedermann et al.	606	61	
	BD	5,545,164	08/13/96	Howland	606	61	
	BE	5,542,946	08/06/96	Logroscino et al.	606	61	
	BF	5,527,312	06/18/96	Ray	606	61	

RECEIVED  
SEP 25 2008  
TECHNOLOGY CENTER R3700

	BG	5,507,745	04/16/96	Logroscino et al.	606	61	
	BH	5,476,463	12/19/95	Boachie-Adjei et al.	606	61	
	BI	5,437,672	08/01/95	Alleyne	606	61	
	BJ	5,415,661	05/16/95	Holmes	606	69	
	BK	5,372,598	12/13/94	Luhr et al.	606	69	
	BL	5,366,455	11/22/94	Dove et al.	606	61	
	BM	5,360,429	11/01/94	Jeanson et al. (see CL)	606	61	
	BN	5,306,275	04/26/94	Bryan	606	61	
	BO	5,300,073	04/05/94	Ray et al.	606	61	
	BP	5,147,360	09/15/92	Dubousset	606	61	
	BQ	5,127,912	07/07/92	Ray et al.	606	61	
	BR	5,113,685	05/19/92	Asher et al.	72	458	
	BS	5,092,893	03/03/92	Smith	623	17	
	BT	5,030,220	07/09/91	Howland	606	61	
	BU	5,007,909	04/16/91	Rogozinski	606	61	
	BV	4,887,595	12/19/89	Heinig et al.	606	61	
	BW	4,841,959	06/27/89	Ransford	128	192 YM	
	BX	4,836,193	06/06/89	Ransford	128	69	
	BY	4,773,402	09/27/88	Asher et al.	128	69	
	BZ	4,604,995	08/12/86	Stephens et al.	128	69	
	CA	4,506,662	03/26/85	Anapliotis	128	92 BC	
	CB	4,454,876	06/19/84	Mears	128	92 D	
	CC	4,289,123	09/15/81	Dunn	128	84 R	
	CD	3,242,922	03/29/66	Thomas	128	92	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES *Abstract only	NO
	CE	WO 98/41160	09/98	PCT (see CM)			X	
	CF	WO 95/31147	11/95	PCT			X	
	CG	WO 94/28813	12/94	PCT			X	
	CH	EP 0 308 156	03/89	EPO			X	
	CI	EP 0 737 449 A1	10/96	EPO (see CN)			X*	
	CJ	JP 10-80431	03/98	Japan			X*	
	CK	JP 9-98984	04/97	Japan			X*	
	CL	JP 6-7371	11/94	Japan (see BM)			X	
	CM	FR 2 760 629	09/98	France (see CE)			X	
	CN	FR 2 732 888	10/96	France (see CI)			X*	
	CO	DE 29712285	11/97	Germany				X

	CP	DE 4434574	04/96	Germany			X*	
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)								
	CQ	"Occipitocervical Screw Plates," Curtis A. Dickman, in <i>Surgery of the Craniovertebral Junction</i> , Thieme, New York, 1998, pp. 761-808.						
	OR	"Injuries to the Occipital Cervical Articulation," Paul A. Anderson, in <i>The Cervical Spine</i> , Third Edition, Lippincott-Raven Publishers, Philadelphia, 1998, pp. 387-399.						
	CS	Current Techniques in Spinal Stabilization, Richard G. Fessler, Ed., McGraw-Hill, New York, 1996, pp. 45-56, 89-92, 101-106.						
EXAMINER					DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

RECEIVED

SEP 25 2003

TECHNOLOGY CENTER R3700